REQUEST FOR INFORMATION

Electronic Document Management System

Second Judicial District Court
October 2004

Part A: INTRODUCTION

1   **PURPOSE, GOALS AND OBJECTIVES**

1.1   **PURPOSE**

The Second Judicial District Court ("Court") is the largest district court in the state of New Mexico. It manages 36% of all district court cases filed in the State. There currently exists a storage crisis with regard to archived records and a diminishing efficiency of the judiciary as a result of the numbers of pleadings coming to the Court on a daily basis and the lack of personnel to handle either situation.

As the Court studied remedies to its crisis, it became acutely aware of the multiple issues related to electronic document management and archiving records in a digital format. Any system contemplated for purchase would have to be user friendly, interface with the Court's case management program and be able to address some of the paper management concerns of support divisions

In those support divisions, the digital data that make up e-mail messages, database systems, websites and other information systems have significance beyond the immediate *business* needs of the Court. As data are created, used, and communicated in the course of its business, useful evidence is created – a *record* – of the Court's past activities. For administrative, legal, financial, accountability and historical reasons, these records are valuable to the Court, the judiciary as a whole and to the public. Thus, all digital data created or received in the conduct of Court business are public records under the Sections 14-3-6 of the Public Records Act and need to be managed with the same care as paper records, just as regular Court pleadings. The Court must ensure that these business records are captured, survive as long as they are needed, and can be read and understood in the future.

1.1.1   The purpose of this Request for Information (RFI) is for the Court to obtain information about vendors, their solutions, available technology, and indicative costs for managing digital data as records and for maintaining the integrity of digital data as digital records over time.

This information may be used, in the future, by the Court to develop a Request for Proposals (RFP) for an electronic document management system that can respond to the Court's legal and business needs.

1.1.2   In response to the Court's requirements, the solution, partial or complete, is left to the vendor to describe in their response to the RFI.

1.2   SCOPE

1.2.1   The scope of the RFI encompasses the integration and or development of a system or systems that will manage, maintain, and store records of the Court identified in record retention and disposition schedules as well as ensure the preservation and continued accessibility of permanent electronic records of the Court required to be retained archivally.

The Court is developing guidelines for the management, access, and security of its records if imaged and stored electronically. These guidelines are intended to provide guidance to staff as they begin the management of electronic records throughout their lifecycle, from initial system design to the final disposal or permanent preservation. These rules cover records created using all types of computerized environments, including personal computers, distributed networks, mainframes, spatial data systems and multimedia systems.

1.3   OBJECTIVES

1.3.1   The objectives of this RFI are to identify available avenues of action and technology that can provide some or all components of an integrated solution that will deliver the functionality necessary to achieve the following key outcomes:
- Application of records management principles to electronic records in a virtual storage setting
- Application of archival management principles of preservation and description to electronic records in a virtual storage setting
- Secure reliable storage of electronic records
- Integrated search and retrieval
- Fault tolerant architecture
- Compliance with the Supreme Court and AOC/JID guidelines
- Utilization of proven technology
- Mechanisms for controlling and preserving characteristics considered essential to the record's meaning
- Preservation program with the ability to preserve any digital record brought into the Court's custody regardless of the application or system from which it comes or data format in which it is stored and based on non-proprietary technologies.
- A solution that possesses user intuitive interface and features is desirable.
- Demonstrable ease of creating workflow for clerk and support divisions, which will enhance the ability of those offices to be more efficient in their work.
- Access to critical documents by key users with appropriate layering of security.
- Propose solution to migration of images from microfilm to CD
- Availability of assistance by the vendor if the system has problems to minimize loss of productivity by users

1.3.2 To achieve this objective the Court is open to considering a single integrated system solution or discrete systems, that when combined, form a fully integrated solution.

2   ADMINISTRATIVE GUIDELINES

2.1   GENERAL TERMS AND CONDITIONS

2.1.1 This RFI is open to all interested vendors.

2.1.2 The Court is not responsible for any costs incurred by vendors responding to this RFI.

2.1.3 The intent of the Court is to gather information on possible solutions for the management of Court documents and records electronically. The Court is not committed nor obligated to any course of action as a result of issuing this RFI and/or receiving information from vendors responding to this RFI.

2.1.4 This document contains information and requirements that were accurate at the time of issue. Variations in these details may arise from continued analysis of the various requirements that form the basis of this RFI.

2.1.5 The Court reserves the right to approach vendors for additional information.

2.1.6 Vendors' responses must be provided in paper hardcopy as outlined in section 2.2.2.

2.1.7 The Court shall not be obligated to provide any explanation on any outcome(s) resulting from this RFI.

2.2   RESPONSES AND QUESTIONS

2.2.1   **RESPONSES SHOULD BE DELIVERED IN A SEALED ENVELOPE WITH THREE PAPER COPIES INCLUDED AND MUST BE RECEIVED BY 5:00 P.M., MONDAY, NOVEMBER 15, 2004. SEALED RESPONSES SHOULD BE ADDRESSED TO:**

Juanita M. Duran, Court Administrator
Second Judicial District Court
400 Lomas NW, Room 325
Albuquerque, NM 87103

Envelopes *must be* clearly marked on the outside "*SEALED RESPONSE TO REQUEST FOR INFORMATION FOR ELECTRONIC DOCUMENT MANAGEMENT SYSTEM*". **Do NOT include any correspondence requiring answers with the response. Submit any questions in separate correspondence.**

NOTE: The Procurement Code, Sections 13-1-28 through 13-1-199 NMSA 1978, imposes civil and misdemeanor criminal penalties for its violation. In addition, the New Mexico criminal statutes impose felony penalties for bribes, gratuities and kickbacks.

2.2.2   Late responses to this RFI will not be accepted. It is the responsibility of the vendor to ensure their response arrives prior to the established deadline.

2.2.3   Questions relating to this RFI shall be directed to **Victoria Garcia at 841-7599 or albdvbg@nmcourts.com**.

2.2.4   The Court will attempt, by the next business day, to acknowledge it has received a response via email.

2.2.5   Vendors are to respond to the information required in Part B of this RFI.

Responses are to follow the structure and content of Part B. Examples of the expected response format are provided in Appendix C.

1.   Responses to each requirement will include a brief description of how the solution meets the requirement, or any workaround, or alternative options available. Direct reference to pre-prepared or promotional material may be used. The pre-prepared material must be attached as an appendix to the response and clearly marked for ease of reference.

2.   Responses to each requirement in Section 5 (Functional Requirements) must specify whether the requirement is:
    Fully met (F)   Not met (N)
    Partially met (P)   Not responding (NR)

3. Where the requirement is shown in Section 5, then each requirement is to be marked with an "F", "P", "N" or "NR" as applicable.

2.3 CONFIDENTIALITY OF INFORMATION

2.3.1 The Court is a public entity within the New Mexico state government and as such abides by the Public Records Act and the Inspection of Public Records Act. Vendor responses not specifically marked as confidential, or are not specifically protected under law or statute, will be treated as a public record available for inspection by the public.

2.3.2 It is the responsibility of the responding vendor to mark on the upper right hand corner of the page or pages "Confidential" or "Proprietary".

2.4 TIMELINE

2.4.1 The Court's timeline for this RFI is: **Thursday, November 4, 2004 RFI issued. Responses received by Monday, November 15, 2004. Review and invitation to demonstrate by December 3, 2004.**

3 BUSINESS OVERVIEW

3.1 THE SECOND JUDICIAL DISTRICT COURT

The Judicial Branch is the third branch of the government. Its mission stems from the State and United States Constitutions and includes the right to determine controversies between individual litigants. Its power is a judicial power, to hear and determine causes of action. The Second Judicial District Court is the largest court of general jurisdiction in the State and it is a Court of record. Its 23 judges hear the largest numbers of cases in controversy with voluminous pleadings comprising the Court record. The retention schedule for closed cases is "forever". Due to its high caseload, it also has the largest number of employees to support the work of the Court. Documents and records produced from those support divisions have diverse retention schedules; their import is enterprise wide as documents produced by the Court may be used in litigation and/or other types of administrative hearings. As the Court continues to use technology to make its work more efficient, its employees are using e-mail and other forms of electronic communication. The documents must be captured and retained as prescribed by the legislature.

3.2 USERS

The judges and staff of the district court and affiliated agencies such as the district attorney's office and public defenders' office.

3.2.1 End-users manage their own documents and email at the desktop.

3.2.2   The Court manages physical records within its facilities and at the storage facility of State Records and Archives. It also images some closed documents through a vendor.

3.2.3   The information systems staff manages the agency's web site, network, and servers; they work in conjunction with the Administrative Office of the Courts/Judicial Information Division.

3.3   EXISTING INFORMATION SYSTEMS
The primary system components the Court uses for the management of internal electronic systems are:

3.3.1   Windows 95 - SCAN SERVER – Archives & Records Storage.

3.3.2   Windows 98 – SLOANS – Student Loans.

3.3.3   Windows 2000 - KEYFILE – Document Imaging, HR Storage.

3.3.2   IBM AIX Servers –ALBDDEV – Application Development, NEWALBD – Case Management (Informix Database).

3.3.3   LINUX Servers – ABQ, Future Case Management, DOS – Application Development.

Appendix B contains further detail on the Court's information technology environment.

<center>B: INFORMATION REQUIRED</center>

Note: Vendors must respond in the manner described in paragraph 2.2.5.

4   GENERAL INFORMATION

4.1   SOLUTION OVERVIEW

4.1.1   Provide an overview of the potential solution, taking into account the requirements outlined in this RFI. This is to include:
    a. Product(s) functionality and features
    b. Components of the solution including any third party products or tools that form part of the solution with any associated licensing costs
    c. Services offered (implementation, support, etc.)
    d. COTS (Commercial-Off-The Shelf), custom, or hybrid solution
    e. Description of a successful implementation(s)

Vendor Response:

4.2 PARTIAL SOLUTIONS

4.2.1 If a partial solution is presented, the vendor must specify where the product(s) or solution was successfully integrated to meet the required functionality described in the RFI including:

    a. Name of the product and solution
    b. How the product was integrated to produced the desired solution
    c. Sites where the product and solution were integrated

Vendor Response:

4.2.2 The vendor must describe any strategic alliances made with other vendors whose product(s) when combined with the responding vendors product(s) solution will meet the required functionality of this RFI.

Vendor Response:

4.3 VENDOR INFORMATION

4.3.1 Contact information including name, address, telephone number, fax number, and email address of the primary contact for the RFI.

Vendor Response:

4.3.2 Company Profile
Provide the following information about parent, associate companies and third parties (if any), which may be involved in providing an integrated solution.

    a. Name, address and telephone number
    b. Website address
    c. Number of years in business
    d. Number of years in business providing records management solutions
    e. Size and nature of operation in the United States of America (USA) and or outside of the USA (including number of staff and geographic location)

Vendor Response:

4.3.3 Outline previous experience in implementing the potential solution including:

    a. Number and year of implementation
    b. Location of implementations
    c. Business of the purchasing organizations (courts, government, bank, medical, etc)
    d. Modules (if applicable) installed or utilized in the implemented solution

Vendor Response:

4.3.4   Provide at least three reference sites for the solution presented, which the Court may contact. The vendor must also provide details and a brief description of the solution, both software and hardware, implemented at these sites.

Vendor Response:

4.3.5   Provide an outline of the customer service model employed to manage and meet the customer's future system requirements.

Vendor Response:

4.3.6   Provide an outline of the product's future direction and product development strategy for the next three to five years.

Vendor Response:

4.4   COSTS

4.4.1   Provide indicative costing information associated with the solution including:
   a. Base product costs and the basis for the pricing (i.e. number of users, modules, servers, etc.) assuming 250 concurrent users.
   b. Typical hardware and software infrastructure costs
   c. Typical costs for similar implementation
   d. Annual maintenance and support costs

Vendor Response:

5   FUNCTIONAL REQUIREMENTS

The following outlines the base functional requirements of the electronic document management system solution sought by the Second Judicial District Court.

5.1   SEARCH AND RETRIEVAL

5.1.1   The solution will provide the ability to search across individual and multiple repositories and document formats.

Vendor Response:

5.1.2   Describe how a user can choose to search on metadata elements or retention description.

Vendor Response:

5.1.3 The solution must provide an intuitive search engine with features including:
   a. Simple user query construction
   b. Boolean, wildcard, exact phrase
   c. Word variance
   d. Natural language, thesaurus, synonym
   e. Date range
   f. Search refinement
   g. Unique identifiers
   h. Prioritization of results
   i. Inclusive and Exclusive results

Vendor Response:

5.1.4 The solution must provide search history and sortable search results

Vendor Response:

5.1.5 The solution must provide for output of search results via print and other formats such as MS Access, MS Excel, etc.

Vendor Response:

5.1.6 The solution must identify requirements for transmitting reliable and authentic information between and across business processes.

Vendor Response:

5.1.7 Allow a search of OCR'd documents by text string.

Vendor Response:

5.1.8 Quick navigation through documents.

Vendor Response:

5.1.9 Upon completion of search, immediately display all selected images and support.

Vendor Response:

5.2   METADATA

5.2.1 The solution will provide for multiple profiles and customizable profile screens

Vendor Response:

5.2.2   The solution will provide intuitive profiling (i.e. automatically populate several metadata elements of the profile)

Vendor Response:

5.2.3   The solution will provide metadata validation.

Vendor Response:

5.2.4   The system will support multiple profile defaults.

Vendor Response:

5.2.5. The system will provide a way to delete metadata at the end of the retention period

Vendor Response:

5.3   RECORDS MANAGEMENT

5.3.1   Describe how the solution will provide for the application of records management principles for electronic records.

Vendor Response:

5.3.2   The solution must provide file tracking and control including audit logs.

Vendor Response:

5.3.3   The solution must support a file classification scheme.

Vendor Response:

5.3.4   The solution must provide for retention and disposition scheduling.

Vendor Response:

5.3.5   The solution must be able to provide for integrity of file status and validation of metadata profiles.

Vendor Response:

5.3.6   Describe how the solution can accommodate the disposition process for both transitory and permanent records.

Vendor Response:

5.3.7   Solution should address disaster preparedness in the event of a disaster.

Vendor Response:

5.4   ARCHIVES MANAGEMENT

5.4.1   Describe how the system will provide for the application of the archival management principles of preservation and access.

Vendor Response:

5.4.2   The solution must support hierarchical description.

Vendor Response:

5.4.3   The solution must provide a mechanism that will ensure the authenticity of the electronic file.

Vendor Response:

5.5   SECURITY AND ACCESS

5.5.1   The solution will provide for assignment of security and access level at both the file and individual document level.

Vendor Response:

5.5.2   The solution must allow for multiple security levels and roles for administration for system management, workgroup management, etc.

Vendor Response:

5.5.3   The solution must provide for integration into Network Operating Systems architectures including:
      a.   Novell
      b.   Microsoft

Vendor Response:

5.5.4 Provide comprehensive security down to the page level, for every action
(including print, fax, and e-mail).

Vendor Response:

5.5.5 Use secure sockets layer (SSL) protocol to encrypt data transfer.

Vendor Response:

5.5.6 Provide audit trail that includes date, time, user and operation.

Vendor Response:

5.5.7 Support security audit reporting on document access that includes document type,
user ID, date and time range, access by workstation / location.

Vendor Response:

5.5.8 Fingerprint Identification.

Vendor Response:

5.5.9 Use of Firewalls allowing access from outside court.

Vendor Response:

5.6   WORKFLOW AND HELP

5.6.1 The solution should provide a supervisory workflow review and approval
capability.

Vendor Response:

5.6.2 The solution must provide online contextual help to assist users.

Vendor Response:

5.6.3 The solution must allow the Court to redefine workflow, as needed and approved
without having the go through the vendor

Vendor Response:

5.6.3 Provide a visual, graphical (GUI) workflow tool to design workflow processes by
"dragging and dropping" icons that represent workflow steps.

Vendor Response:

5.6.4   Support "point-and-click" configuration enabling customization of workflow processes and user interface without programming.

Vendor Response:

5.6.5   Provide flexibility for authorized users to route documents on an ad hoc, exception basis (e.g. for special review) outside of normal automated routing.

Vendor Response:

5.6.6   Provide ability to monitor, which task the user is performing and automatically open documents (e.g. for reference) appropriate for that task.

Vendor Response:

5.6.7   Use of electronic signatures.

Vendor Response:

5.6.8   Provide ability to initiate workflow processes upon receipt of electronic forms, Internet forms, and e-mail messages.

Vendor Response:

5.7   REPORTING

5.7.1   The solution should be SQL compliant.

Vendor Response:

5.7.2   The solution must include and generate user definable reports

Vendor Response:

5.8   EDITTING

5.8.1   Provide document editing software for annotation of images, which do not contain text, as well as editing files created by means of OCR.

Vendor Response:

5.8.2   Support popular off-the-shelf word processing software (e.g. MS-Word, WordPerfect) for annotation of images and for editing files created by means of

OCR. Provide ability to apply "sticky notes" or text notes to all document types and retain the relationship of the notes to the page.

Vendor Response:

5.8.3   Support document versioning.

Vendor Response:

5.8.4   Provide ability to apply "sticky notes" or text notes to all document types and retain the relationship of the notes to the page.

Vendor Response:

5.9   IMPORT OF EXTERNAL FILES

5.9.1   Provide ability to import image and text files generated externally (i.e. by vendors scanning backlog documents or microfiche).

Vendor Response:

5.9.2   Provide ability to import image and text files generated by word processing, spreadsheet, graphics (e.g. AUTOCAD) and other software applications.

Vendor Response:

5.9.3   Supports import of .doc and .xls files. In comments, please list other file types that can be imported.

Vendor Response:

5.10   TEXT AND IMAGE MANIPULATION

5.10.1 Provide ability to jump to pages or information contained in a document.

Vendor Response:

5.10.2 Provide ability to highlight words from search specification.

Vendor Response:

5.10.3 Provide ability to attach annotations to stored images without altering the image.

Vendor Response:

5.10.4 Use of "watermark" technology providing certification/legality of documents.

Vendor Response:

5.11   APPLICATION PROGRAMMING INTERFACE (API)

5.11.1 Identify the system's interaction with other systems:
        a. Tiburon, FACTS
        b. Informix, JAM
        c. MS Access
        d. Crystal Reports
        e. KEYFILE
        f. XML (programming language for WEB)
        g. Secondary Systems: HRMS, BMS, BRS, CASA, YFC, CC.

Vendor Response:

6   TECHNOLOGY REQUIREMENTS

The following outlines the base technological requirements of the electronic records storage system sought by the Second Judicial District Court.

6.1   SYSTEM ARCHITECTURE

6.1.1 Provide an overview of the system architecture.

Vendor Response:

6.1.2 Provide an overview, with major milestones, of the product's development, up to and including its current release.

Vendor Response:

6.1.3 Provide information on the proposed solution's scalability.

Vendor Response:

6.1.4 Provide information on the proposed solution's interoperability.

Vendor Response:

6.2   TECHNICAL REQUIREMENTS

6.2.1   What hardware platforms does the solution support?

Vendor Response:

6.2.2   What is the recommended hardware configuration?

Vendor Response:

6.2.3   What database systems does the solution support? Please include version
          numbers and related information (e.g. service packs, etc.)

Vendor Response:

6.2.4   What operating systems does the solution run under?

Vendor Response:

6.2.5   What is the recommended operating system?

Vendor Response:

6.2.6   What network protocols does the system support?

Vendor Response:

6.2.7   In what language(s) is the application software developed?

Vendor Response:

7   IMPLEMENTATION AND SUPPORT REQUIREMENTS

7.1   IMPLEMENTATION

7.1.1   Outline the implementation strategy, including:
          a. Project management
          b. Installation and setup
          c. Customization and software enhancements
          d. Training IT/User
          e. Operational testing
          f. Functional testing
          g. Acceptance testing

h. Post implementation support

Vendor Response:

7.1.2 Describe the approach(es) you have taken to ensure the solution meets a customer's needs?

Vendor Response:

7.1.3 Provide examples of strategies or approaches used in implementations similar to the Court's requirements.

Vendor Response:

7.2 MAINTENANCE AND SUPPORT

7.2.1 How frequently are versions released? What information can you provide about recent or proposed releases.

Vendor Response:

7.2.2 Briefly outline how you will support all components of the potential solution for a state government customer including all solution documentation and any options.

Vendor Response:

APPENDICES

Appendix A. Document Formats within the Court

MS Office Suite	.doc, .mdb, .xls, .ppt
FoxPro	.dbf
PDF	.pdf
Email Formats: RTF, TXT	.rtf, .txt
Image files JPEG, GIF, etc.	.jpeg, .jpg, .gif, .wmf, .png
HTML	.html, .htm, .asp
SGML	.sgml
Audio/video	.mp3, .wav, .mid, .mpg, .wmv, .mpeg
Word Perfect	.wpd

Appendix B. Technology Environment within the Court

Desktop
The Court's desktop computers have Windows NT 4.0, Windows 2000 or Windows XP Professional as the operating system. Applications are Windows Professional Suite; Netscape; Norton Anti-Virus; MS Explorer, WordPerfect. All desktop computers have Web access.

Server and applications
Applications other than basic MS business software:

Primary Systems: Informix, JAM, MS Access, Crystal Reports, and KEYFILE.

Secondary Systems: HRMS, BMS, BRS, CASA, YFC, CC.

Servers

- 2 IBM AIX
- 2 LINUX
- 1 Windows 95
- 1 Windows 98
- 10 Windows 2000
- 2 Windows NT
- 4 Novell

Applications
FACTS – Case Management System (COT-Tiburon), Informix; AIMS - Financial Accounting Software (FoxPro); KEYFILE – Document Imaging HR Storage.

The Informix Databases using JAM or Delphi are Court Alternatives, JURY, Special Services, Domestic Violence, Barcode Scan (record tracking) and Bench Warrant Cancel.

The MS Access Databases are Court Clinic (CC), Youth and Family Counseling (YFC), Capital Planning System (CPS), Human Resource Management System (HRMS), Budget Review System (BRS) and Intellitrack (Fixed Assets/Storehouse).

Crystal Reports used for reporting on Calendars and many other custom reports.

The web site is setup using MS IIS 5 with third party software for the search engine and app lock software. E-mail server runs Netscape. The Benefit Management System (BMS) is web based.

Network
The Court's network uses Fast Ethernet running TCP/IP supporting 100mps to the desktops through the use of Cisco switches.

Website

Intranet based on IIS5. The Court's firewalls are controlled by JID (Judicial Information Division) IIS5.

Backup

The servers are backed up using Veritas software.

Appendix C. Response Format

Example 1

4.1.1   Provide an overview of the potential solution, taking into account the requirements outlined in this RFI. This is to include:
  a. Product(s) functionality and features
  b. Components of the solution including any third party products or tools that form part of the solution
  c. Services offered (implementation, support, etc.)
  d. COTS (Commercial-Off-The Shelf), custom, or hybrid solution
  e. Description of a successful implementation(s)

Vendor Response:

General description of the system and how it meets the requirements listed above. Any references to detailed supporting material can be attached as addenda to this response.

Example 2

6.2.7   In what language(s) is the application software developed?

Vendor Response:

General description of the solution.